

DIRECTIVE

JOB TRAINING PARTNERSHIP ACT

Number: D97-15

Date: February 23, 1998
69:103:mw

TO: SERVICE DELIVERY AREA ADMINISTRATORS
PRIVATE INDUSTRY COUNCIL CHAIRPERSONS
JTPD PROGRAM OPERATORS
EDD JOB SERVICE OFFICE MANAGERS
JTPD STAFF

SUBJECT: PPFU DATA COLLECTION AND REPORTING

EXECUTIVE SUMMARY:

Purpose:

This Directive provides policy and procedures on Post Program Follow-up (PPFU) data collection and reporting requirements.

Scope:

Instructions in this Directive apply to the Title II-A 77 percent Adult, Title II-A 5 percent Adult Incentive, Title II-A 5 percent Older Worker program, Title III, Formula, National Reserve and the Defense Conversion Assistance Projects (DCAP).

Effective Date:

This Directive is effective immediately.

REFERENCES:

- Training and Employment Information Notice (TEIN) No. 26-96
- U.S. Department of Labor (DOL) Technical Assistance Guide (TAG) for JTPA Follow-up and Validation, dated June 1990
- TEIN 5-93, Change 2, JTPA Standardized Program Information Reporting (SPIR) Instructions, dated January 1997
- JTPA Directive 97-12, Title II Performance Standards for Program Year 1997-98
- JTPA Directive 97-14, Title III Performance Standards for Program Year 1997-98

STATE-IMPOSED REQUIREMENTS:

This Directive contains state-imposed requirements that are printed in ***bold italic*** type.

FILING INSTRUCTIONS:

This Directive supersedes JTPA Interim Directives 93-18 and 93-19, both dated December 29, 1993.

BACKGROUND:

The DOL requires states to collect PPFU data for terminees served under the Title II-A 77 percent Adult, Title II-A 5 percent Adult Incentive, Title II-A 5 percent Older Worker, Title III, Formula, National Reserve and DCAP. Compliance with PPFU reporting and data collection requirements is critical to assure the validity of the state's performance measurement system and the incentive award process. Four of the six Title II core performance measures are based on outcomes derived from PPFU survey results. These include:

Title II

Adult Follow-up Employment Rate
Adult Follow-up Weekly Earnings
Welfare Follow-up Employment Rate
Welfare Follow-up Weekly Earnings

Although there are no incentive funds associated with performance in the Older Worker program, Title III and DCAP, SDAs are expected to meet standards for the following measures derived from PPFU survey results:

Title III

Follow-up Entered Employment Rate

The PPFU for any given year is based on terminees from April 1 of the previous year through March 31 of the current program year (PY). Using PY 1997-98 as an example, the Adult Follow-up Employment Rate is based on terminee data from April 1, 1997, through March 31, 1998.

POLICY AND PROCEDURES:

The SDAs are required to submit data on all final terminees for PPFU purposes to the state by the 10th of each month. These data are processed and forwarded to the state's PPFU contractor, the University of California at Berkeley (UCB). The UCB conducts follow-up interviews with terminees concerning the 13th week after they are terminated from the program. A telephone survey is used to obtain self-reported information on employment status, duration and earnings from the sample of terminees selected for follow-up. The sample results are used to estimate the Entered Employment Rate and Average Weekly Earnings for Adults and Welfare Adults served in Title II programs and for all adults served in Title III, National Reserve, and DCAP programs. The UCB reports the follow-up results to the SDAs and the state on a monthly basis. These reports provide data that are used by the state to award incentive funds to SDAs that exceed Title II performance standards.

To ensure the reliability of data obtained from the follow-up sample as a valid measure of overall performance, DOL requires PPFU data to meet the following minimum standards:

1. Minimum Sample Size

The minimum sample size required for PPFU has been established by DOL based on accepted statistical standards. The sample size required to achieve statistical reliability depends on the total number of terminees eligible for PPFU each year. Generally, all terminees eligible for follow-up must be included in the sample if the annual number of terminees is 100 or less. In larger programs where the annual number of terminations exceeds 1,000, the required sample size is only about 300. The SDAs should refer to the Minimum Sample Size for Follow-up chart created by DOL to determine the sample size required to meet minimum standards based on the size of their program. A copy is provided in Attachment I.

The actual number selected by UCB for the follow-up sample is determined based on each SDA's estimated number of terminees for the entire PPFU period and DOL required minimum sample size for that number of terminees. Only those individuals who are excluded from PPFU requirements (e.g., institutionalized, deceased) are not included in determining the required sample size. For the DCAP, the sample size is based on the number of terminees for each DCAP. The minimum sample size requirement cannot be met if an SDA fails to submit a minimum of 85 percent of its eligible PPFU terminees for the post program year.

2. Minimum Data Submission

Although DOL states that all terminees should be available for selection in the follow-up sample, SDAs are provided some latitude in meeting a 100 percent data submission requirement, as long as the assurance of statistical reliability and quality data is maintained. **Therefore, the state requires all SDAs, regardless of their size, to submit a minimum of 85 percent of all terminees by the tenth each month for PPFU purposes.** All terminees must be "eligible" for PPFU. Duplicate cases, late terminees (i.e., reported too late for sampling selection) or unreadable data are invalid and will not be counted as a reported termination. For example, if an SDA reports 1,000 terminees of which 300 are found invalid (duplicate, late or unreadable), only 700 terminees will be counted as "eligible" terminees. This SDA would fail to meet the minimum 85 percent requirement. **The 85 percent reporting requirement is also applicable to the DCAP; however, the requirement is applied on a per project basis.** (For a DCAP with 100 cumulative terminees by the end of the project, 85 "eligible" terminees must have been reported to the state for follow-up purposes.)

In addition, the sampling proportion must be constant over time. Thus, the sampling proportion should be the same throughout the last quarter of the

previous program year and the first three quarters of the current program year. Otherwise, some quarters would be overrepresented in the sample and other quarters would be underrepresented.

3. Response Rate Requirements

The DOL requires a minimum response rate of 70 percent for each of the following terminnee groups:

- Adult Employed at Termination
- Adult Not Employed at Termination
- Adult Welfare Recipients Employed at Termination
- Adult Welfare Recipients Not Employed at Termination
- ALL Title III

An 80 percent response rate for each DCAP is required for the following terminnee groups:

- Dislocated Workers Employed at Termination
- Dislocated Workers Not Employed at Termination

The response rate is defined as the number of terminees with complete follow-up information required by DOL (i.e., respondents), divided by the total number of terminees included in the follow-up sample.

4. Requests for Changes in Data Submitted for PPFU

Once PPFU data have been submitted to UCB, any changes that may be required to correct errors in termination codes or other data problems cannot be made without authorization from state staff. ***To request a change in PPFU data, SDAs must complete a "Request for PPFU Data Correction" form. A copy of the form is provided in Attachment II. Completed forms should be faxed to the attention of the Data Analysis Unit in the Job Training Partnership Division at (916) 654-9586.***

In general, changes to PPFU data will only be authorized in situations where an individual has been institutionalized, is deceased, or was incorrectly terminated from the program and is still receiving services. Strict adherence to this policy is required to minimize reporting inconsistencies and to ensure the validity of the state's incentive award process.

5. Notification

To assist SDAs in meeting sample size and response rate requirements, JTPD monitors monthly data submission and may send written notification to SDA Administrators, as necessary, to address the following situations:

- Inaccurate codes or non-readable data;
- Data submitted to the state after the required tenth calendar day;
- Termination dates that are too late for follow-up, e.g., significant numbers of “late” terminees submitted past the opportunity for sampling selection; and,
- Failure to submit at least 85 percent of the terminations reported in Quarterly Reports or Individual Participant Data for the corresponding time period.

This notification is intended to assist SDAs in preventing or resolving reporting problems. ***The SDAs that fail to meet minimum requirements for data submission as specified above, may be required to submit a corrective action plan. If data problems compromise the validity and reliability of the state’s performance measurement system, the SDA may be considered ineligible to receive an incentive award for the program year in which the data problems occurred.***

ACTION:

It is the SDA’s responsibility to establish, maintain and exercise ongoing controls to ensure compliance with these requirements.

INQUIRIES:

If you have any questions regarding the above, please contact Deborah Cusimano, Data Analysis Unit Manager, (916) 653-4292.

/S/ BILL BURKE
Acting Assistant Deputy Director

Attachments

Exhibit 2.1

Minimum Sample Sizes for Follow-up

Annual Number of Terminees in Population Eligible for Follow-up	Minimum Sample Size	Sampling Percentage
1 - 137	ALL	100
138 - 149	137	94
150 - 159	143	92
160 - 169	149	89
170 - 179	154	87
180 - 189	159	85
190 - 199	164	84
200 - 224	175	82
225 - 249	185	78
250 - 274	194	74
275 - 299	202	71
300 - 349	217	67
350 - 399	229	62
400 - 449	240	57
450 - 499	250	53
500 - 599	265	50
600 - 749	282	44
750 - 999	302	38
1,000 - 1,499	325	30
1,500 - 1,999	338	22
2,000 - 2,999	352	17
3,000 - 4,999	364	12
5,000 or more	383	7.3

To: DATA ANALYSIS UNIT

FAX: (916) 654-9586

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REQUEST FOR PPFU DATA CORRECTION

SDA _____

Funding Code _____

Case # _____

Terminee Name _____

Termination Date _____

Date sent for Follow-up _____

Will this Case # be sent as a terminee again? _____

Reason for Requested Correction:

SDA Authorized Signature

Date

FOR JTPD USE ONLY:

☐ Approved ☐ Denied _____

JTPD Signature

Date